

6 APR 1979

MEMORANDUM FOR: Deputy Director of Central Intelligence

FROM : Harry H. Fitzwater  
Director of Personnel

SUBJECT : Performance Appraisal System

Forwarded in accordance with your request is a memorandum to the Director of Central Intelligence outlining the status of the new Performance Appraisal System. It addresses his two major concerns, i.e., the lack of clear identification of duties and performance standards, and the length and nature of narrative comments. This summary and status report updates and supplements the information in [REDACTED] memorandum of 12 December 1978 which transmitted copies and analysis of Career Service comments on the DCI's proposed form.

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[REDACTED]

*[Signature]* Harry E. Fitzwater

Att.

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OP/P&C/PMS/[REDACTED]:CNC (5 Apr 79)

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9 APR 1979

MEMORANDUM FOR: Director of Central Intelligence

FROM : Frank C. Carlucci  
Deputy Director of Central Intelligence

SUBJECT : Performance Appraisal System

1. The CIA Executive Committee (CEC) met on 3 April to review the Office of Personnel's latest proposal, derived from the previous work on the subject, for the new Performance Appraisal System. The new forms and accompanying instructions incorporate most of your suggestions, as well as suggestions from me and from the five Career Services. A copy of the performance appraisal package, as reviewed by the CEC, is attached.

2. The key features of the new system are:

° The Advance Work Plan

The Advance Work Plan is a contract between the supervisor and the employee which is prepared at the beginning of the rating period and used as a checklist to measure achievement at the end of the period. This permits clear identification of duties and standards against which performance is measured.

° Seven-Point Numerical Rating Scale

The change from a five-point adjectival rating scale to a seven-point numerical one is intended to de-escalate the current practice of rating 70% of all employees "Strong" by providing greater differentiation of levels of performance in the middle of the spectrum.

° Aspects of Performance and Personal Traits

Rating officers will be required to comment on factors appropriate at certain grade levels and on specific factors for all managers and supervisors. The factors listed in the instruction sheet

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were accepted by the CEC and the following additional factors, proposed by the Committee, will be added before the final package is printed:

Written Expression  
Interpersonal Relationships  
Resourcefulness  
Dependability  
Quality and Quantity of Work

° Training Program

As the NAPA team indicated, the key to the success of the system lies not in the form, but in the training and discipline of the people who use it. An extensive training program for experienced and new supervisors and managers will precede the implementation of the program. In addition, a Performance Appraisal Handbook is being prepared. The training program, instructions, and handbook will emphasize the importance of substantive comment on the performance of the individual, not on the job or on the mission of the office. This will be further emphasized by slightly expanding the comments section of the form and strongly discouraging additional pages of comment.

° Enforcement

For the first time, reviewing officers will be held responsible for ensuring appropriate rater content and with returning inconsistent or incomplete performance appraisal reports to the rating officer for corrective action. Career Services will also be required to establish a monitoring system to review and correct any deficiencies in the reporting within the Service.

3. The Committee discussed the addition of a requirement to evaluate potential in the performance appraisal report. As you may recall, the inter-Directorate Performance Appraisal Task Force ruled this out on the basis of professional opinion against inclusion in performance appraisal reports and on comments from the Career Services concurring in this position. The Committee has requested that the issue be reexamined and has asked the Office of Personnel to prepare an option paper for CEC consideration. The potential issue is being resolved and the total system will be implemented by 1 October 1979.

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Frank C. Carlucci

Att  
As Stated

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### INSTRUCTIONS

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#### 1. Personnel or Administrative Officer

- ° Complete headings on Form 45a, Advance Work Plan.
- ° Forward package to appropriate supervisor (Rating Officer).

#### 2. Component

##### ° Rating Officer

Complete Form 45a, Performance Appraisal Report and attach copy of the Form 45b developed for the period covered by the PAR.

Complete Form 45b, Advance Work Plan, with employee.

Conduct performance appraisal interview with employee and obtain signature.  
(This may be done before or after reviewing official comments are added.)

##### ° Reviewing Official

Review rater comments for completeness.

Complete Section F3., Form 45a, Performance Appraisal Report.

Ensure that reviewer comments are seen and acknowledged by the employee.

#### 3. Personnel or Administrative Officer

- ° Remove instruction sheets.
- ° Reproduce copies for career service.
- ° Forward original to Office of Personnel.

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DIRECTIONS FOR COMPLETING PERFORMANCE APPRAISAL REPORTS (PAR)

Policy

A properly administered performance appraisal program requires continuing communication and understanding between supervisor and employee to evaluate progress and performance of individual job responsibilities and the achievement of organizational objectives. During the course of the reporting period the supervisor should have frequent work-related conversations with the employee to offer guidance and encouragement and to discuss the assignment and status of performance.

Supervisors are required to develop Advance Work Plans and to record performance appraisals at least once a year. The Performance Appraisal Package, Form 45, is used for this purpose. Appraisals and/or new Work Plans will also be prepared whenever it is necessary or desirable to provide management with information which may be pertinent to future personnel actions affecting the employee.

STATOTHR When a memorandum is used in lieu of Form 45 for an employee GS-14 or above as permitted in HR [REDACTED] the basic tenets and criteria applicable to Form 45, including the preparation of an Advance Work Plan, will be adhered to. It must contain all the necessary identifying information in Section A of Form 45b and must all have all the requisite signatures and certifications. A memorandum in lieu of Form 45 will not normally be used during the three-year trial period.

Submission

The original copy of the PAR will be forwarded to the Office of Personnel through the Head of the Career Service concerned, with one copy to be retained by the Career Service.

### Reports During the Three-Year Trial Period

A PAR will be prepared for each new employee upon completion of 12, 21, and 33 months unless a report has been prepared for some other reason during the previous 90 days. The initial report may be deferred for a period not to exceed 30 days beyond the end of the rating period to provide a supervisor with additional time to evaluate an employee who has been under the supervisor's jurisdiction for less than 90 days. The first sentence of the narrative in reports on employees in the three-year trial period must recommend for or against continuation of employment.

### The Advance Work Plan

The Advance Work Plan is to be completed at least annually and represents an agreement between supervisor and employee on goals and priorities for the coming year. Plans will be revised or amended during the period to record any significant changes in the employee's duties and responsibilities or in agreed performance objectives. The Plan should not only establish the standards for accomplishment of the goals and objectives, but should identify the elements of critical importance.

The Work Plan for the coming year will normally be prepared as a follow-up to the PAR for the past year. It will be retained by the office and subsequently attached to the PAR which reports on the employee's performance for the period of the Plan.

### Annual Performance Appraisal Report

A PAR will be prepared annually for each employee, except when a report has been submitted for some other purpose during the 90 days

preceding the end of the reporting period. An annual report may be delayed until the employee has been under the supervisor's jurisdiction for 90 days.

SCHEDULE FOR SUBMISSION OF ANNUAL REPORTS

| <u>Grade</u>    | <u>End of Reporting Period</u> | <u>Due in Office of Personnel</u> |
|-----------------|--------------------------------|-----------------------------------|
| GS 01-05        | 31 March                       | 30 April                          |
| GS-06           | 31 January                     | 28 February                       |
| GS-07 and 08    | 31 December                    | 31 January                        |
| GS-09 and 10    | 30 September                   | 31 October                        |
| GS-11           | 31 August                      | 30 September                      |
| GS-12           | 31 July                        | 31 August                         |
| GS-13           | 30 June                        | 31 July                           |
| GS-14           | 30 April                       | 31 May                            |
| GS-15 and above | 31 March                       | 30 April                          |

Reassignment Report

A supervisor will prepare a report when an employee is reassigned to another supervisor's jurisdiction or when the supervisor is reassigned.

Specific Instructions

Section A - General Information

To be completed by appropriate administrative or personnel officer.

Section B - Qualifications Update

Indicate whether employee's qualifications are updated during this reporting period and whether they are attached.

Section C - Performance Appraisal of Specific Duties

Describe each duty in sufficient detail to provide information which may be useful later in considering individuals for other assignments.



Use a single number for each specific duty without the addition of decimals, plus or minus signs, or other modifications.

Section D - Supervisor's Comment

Narrative comments must support ratings of specific duties, make the connection with the Work Plan goals, and explain the basis for the overall rating. The following factors should be considered as appropriate:

Security Consciousness  
Mobility  
Productivity  
Effectiveness of Oral Expression  
Timeliness of Performance  
Foreign Language Competence  
Initiative

Versatility  
Cooperativeness  
Acceptance of Responsibility  
Records Discipline  
Decisiveness  
Judgment

In addition to any other appropriate factors listed above, the following factors must be addressed for personnel GS-12 and above:

Cost Consciousness  
Records Discipline  
Security Consciousness  
Cooperativeness

Judgment  
Acceptance of Responsibility  
Initiative

In addition to the appropriate factors listed above, the following factors must be addressed in reports for supervisory and managerial personnel:

Subordinate Management and Development  
Quality of Performance Appraisal  
Delegation of Responsibility  
Equal Opportunity (EEO)  
Use of Personnel, Space, Equipment, Funds, etc.  
Goal Setting and Achievement

Section E - Overall Performance Rating

To arrive at this rating which will reflect an employee's overall performance, the supervisor should consider, in addition to performance on all specific duties, the employee's conduct on the job, productivity, adaptability, working relationships, and sensitivity to

the principles of equal employment opportunity and advancement. This is not an average of the individual ratings of the listed responsibilities. Although promotability may be considered in the evaluation, no specific promotion recommendations will be made on Performance Appraisal Reports. (Promotion recommendations will be made in accordance with HR [REDACTED])

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Section F - Certification and Comments

The rating officer's signature certifies that the Performance Appraisal Report has been shown to and discussed with the employee. Employees have the option to comment on their own performance or on the supervisor and/or reviewer comments. This portion of the report, however, is not intended to replace a discussion of performance between the employee and the supervisor. When for any reason a Performance Appraisal Report is not shown to an individual prior to forwarding to the Office of Personnel for processing, it is the responsibility of the Career Service to have the report subsequently shown to the individual and the record documented.

Reviewing officials shall, as a matter of practice, provide their own evaluation by substantive comment on the performance of the individual being rated. If the reviewing official is in substantial disagreement with the rating official, the evaluation should be discussed with the rating official and the employee. The reviewing official is also responsible for monitoring follow-up administrative action when overall performance is rated at the 1 or 2 level.

In addition, reviewing officials are responsible for ensuring that all reports prepared by rating officials under their jurisdiction are consistent and reflect uniform standards of reporting. INCOMPLETE

OR INCONSISTENT REPORTS WILL BE RETURNED TO THE RATING OFFICIAL BY THE REVIEWING OFFICIAL FOR CORRECTIVE ACTION. Heads of Career Service are further required to establish a monitoring system to ensure adherence to the principles of the system.

PERFORMANCE APPRAISAL REPORT

| SECTION A                               |                               | GENERAL INFORMATION       |                    |          |
|---|-------------------------------|---------------------------|--------------------|----------|
| 1. SOC SEC NUMBER                       | 2. NAME (Last, first, middle) | 3. SD                     | 4. SCHED           | 5. GRADE |
| 6. AFFILIATION                          |                               | 7. OCCUPATIONAL TITLE     |                    |          |
| 8. OFFICE/DIVISION/BRANCH OF ASSIGNMENT |                               | 9. CURRENT STATION        |                    | 10. HQS  |
| 11. REPORTING PERIOD                    |                               | 12. DATE REPORT DUE IN OF | 13. TYPE OF REPORT |          |

| SECTION B   | QUALIFICATIONS UPDATE | YES | NO |
|---|-----------------------|-----|----|
| QUALIFICATIONS UPDATE FORM BEING SUBMITTED WITH CHANGES, AND IS IT ATTACHED TO THIS REPORT? |                       |     |    |

| SECTION C   | SPECIFIC DUTIES |
|---|-----------------|
| List up to six of the most important specific duties performed during the rating period. Insert rating which best describes the manner in which employee performs EACH specific duty. Consider ONLY effectiveness in performance of that duty. All employees with supervisory responsibilities MUST be rated on their ability to supervise (indicate number of employees supervised). Definitions of ratings to be used may be found in Section G of this form. |                 |

|                     |               |
|---------------------|---------------|
| SPECIFIC DUTY NO. 1 | RATING NUMBER |
| SPECIFIC DUTY NO. 2 | RATING NUMBER |
| SPECIFIC DUTY NO. 3 | RATING NUMBER |
| SPECIFIC DUTY NO. 4 | RATING NUMBER |
| SPECIFIC DUTY NO. 5 | RATING NUMBER |
| SPECIFIC DUTY NO. 6 | RATING NUMBER |

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Amplify or explain the individual ratings given for specific duties in Section C. Indicate significant strengths or weaknesses demonstrated and any suggestions made for improvement of work performance. Give recommendations for training. See attached instructions for required comments on: cost consciousness, EEO, safety, security, and evaluation of supervisors. ~~If extra space is needed, attach additional sheet.~~

SECTION E OVERALL PERFORMANCE RATING

THE OVERALL PERFORMANCE RATING SHOULD TAKE INTO ACCOUNT EVERYTHING ABOUT THE EMPLOYEE WHICH INFLUENCES EFFECTIVENESS. SEE ATTACHED INSTRUCTIONS FOR DETAILS.

RATING  
NUMBER

SECTION F CERTIFICATION AND COMMENTS

1. BY SUPERVISOR

MONTHS EMPLOYEE HAS BEEN IN  
THIS POSITION \_\_\_\_\_

MONTHS UNDER MY SUPERVISION \_\_\_\_\_

IF THIS REPORT HAS NOT BEEN SHOWN TO EMPLOYEE, GIVE EXPLANATION.

DATE

TITLE OF SUPERVISOR

TYPED OR PRINTED NAME AND SIGNATURE

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EMPLOYEE'S SELF APPRAISAL OF PERFORMANCE, COMMENTS REGARDING SUPERVISOR'S EVALUATION, REVIEWER'S COMMENTS OR BOTH.  
IF EXTRA SPACE IS NEEDED, ATTACH ADDITIONAL SHEET.

I CERTIFY THAT I HAVE HAD A DISCUSSION OF THIS REPORT  
WITH MY SUPERVISOR.

DATE

SIGNATURE OF EMPLOYEE

## 3. BY REVIEWING OFFICIAL

COMMENTS OF REVIEWING OFFICIAL. IF EXTRA SPACE IS NEEDED, ATTACH ADDITIONAL SHEET.

DATE

TITLE OF REVIEWING OFFICIAL

TYPED OR PRINTED NAME AND SIGNATURE

## 4. BY EMPLOYEE

I CERTIFY THAT I HAVE READ THE REVIEWER'S COMMENTS.

DATE

SIGNATURE OF EMPLOYEE

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ADMINISTRATIVE

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Individual Duty

1. Individual consistently fails to meet the established work standards for the duty or task performed. Performance is unsatisfactory.
2. Individual frequently fails to meet the work standard for the duty or task performed. Performance is marginal.
3. Individual occasionally fails to meet the work standard for the duty or task performed. Performance is acceptable.
4. Individual fully meets the work standards for the duty or task performed. Performance is representative.
5. Individual occasionally exceeds the established work standard for the duty or task performed. Performance is good.
6. Individual frequently exceeds the established work standard for the duty or task performed. Performance is excellent.
7. Individual invariably exceeds the established work standard for the duty or task performed. Performance is superior.

Overall Performance

Performance does not meet all established work standards for the position and specifically demonstrates the individual's failure to meet one or more important job requirements (e.g., doesn't complete work; lacks the necessary knowledge, skill, or ability to do the job properly). Performance is unsatisfactory.

Performance frequently does not meet all established work standards for the position and reflects a significant problem relating to the individual's suitability for continued assignment in the job (e.g., seldom completes work assignments without strong support; work products or services are often faulty and incomplete). Performance is marginal.

Performance generally meets established work standards for the position but characteristically needs improvement in a specific area or on occasion falls somewhat short of satisfying all job requirements (e.g., inconsistent work effort in meeting deadlines; quality of work product or service sometimes needs to be improved). Performance is acceptable.

Performance meets all established work standards for the position and attests to a satisfactory level of job-related knowledge, skill or ability (e.g., does what is expected; reliable and dependable, a typical performer). ~~Performance is representative.~~

Performance occasionally exceeds established work standards for the position and is generally of higher quality than is required to do the job satisfactorily (e.g., generally produces a better than average product or service; reveals a good level of knowledge, ability, and skill in satisfying work requirements). Performance is good.

Performance frequently exceeds established work standards for the position and shows that the individual's level of job-related knowledge, skill, and ability is highly developed (e.g., functions with ease in satisfying work requirements, producing a high-quality product or service). Performance is excellent.

Performance invariably exceeds established work standards for the position, and is characterized by extraordinary proficiency suggestive of one expert at doing the job (e.g., highly efficient performer, one who demonstrates impressive knowledge, skill and ability in his or her work performance). Performance is superior.

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ADVANCE WORK PLAN

GENERAL INFORMATION

|                         |                            |                 |    |
|-------------------------|----------------------------|-----------------|----|
| SQC SEC NUMBER          | NAME (Last, first, middle) | GRADE           | SD |
| OFFICIAL POSITION TITLE | OFF/DIV/BR OF ASSIGNMENT   | CURRENT STATION |    |

A. EMPLOYEE'S JOB - State briefly where the position fits in the staffing pattern and if appropriate the number and type of employees supervised by this employee.

B. WORK OBJECTIVES, GOALS AND PRIORITIES - List the specific objectives and goals, in priority order, formulated by the supervisor and the employee.

PERIOD COVERED \_\_\_\_\_ (To be attached to the PAR for this period.)

SIGNATURE OF EMPLOYEE (Name typed)

SIGNATURE OF SUPERVISOR (Name typed)

TITLE

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DATE